

## SUBCHAPTER A—PERSONNEL

### PART 3000—STANDARDS OF CONDUCT

#### Subpart A—General Provisions

Sec.

3000.735-101 Cross-reference to employee ethical conduct standards and financial disclosure regulations.

3000.735-102 Counseling and advisory services.

3000.735-103 Financial interests.

3000.735-104 Outside employment.

#### Subpart B—Ex Parte Communications

3000.735-501 Ex parte communications prohibited.

3000.735-502 Public record of ex parte communications.

APPENDIX A TO PART 3000—CODE OF ETHICS FOR GOVERNMENT SERVICE

AUTHORITY: 39 U.S.C. 3603; E.O. 12674, 54 FR 15159, 3 CFR, 1989 Comp., p. 215, as modified by E.O. 12731, 55 FR 42547, 3 CFR, 1990 Comp., p. 306; 5 CFR parts 2634 and 2635.

SOURCE: 36 FR 5412, Mar. 23, 1971, unless otherwise noted.

#### Subpart A—General Provisions

SOURCE: 58 FR 42874, Aug. 12, 1993, unless otherwise noted.

#### § 3000.735-101 Cross-reference to employee ethical conduct standards and financial disclosure regulations.

Employees of the Postal Rate Commission (Commission) are subject and should refer to the executive branch-wide Standards of Ethical Conduct at 5 CFR part 2635, the Commission regulation at 5 CFR part 5601 which supplements the executive branch-wide standards, and the executive branch-wide financial disclosure regulation at 5 CFR part 2634.

#### § 3000.735-102 Counseling and advisory services.

(a) The Chairman of the Commission shall appoint the Designated Agency Ethics Official (DAEO) for the Commission. The DAEO may appoint deputy ethics officials to assist in carrying out the responsibilities of the designated

agency ethics official. The DAEO shall advise employees as to the applicability and interpretation of laws and regulations involving the standards of conduct for employees of the Commission. The DAEO shall furnish advice to employees for the purpose of aiding employees in avoiding conflicts of interest, situations, actions or conduct that may reflect adversely on the Commission.

(b) The DAEO shall develop and execute an ethics agency training plan providing for an initial orientation for new employees and annual ethics training.

#### § 3000.735-103 Financial interests.

An employee shall not, either directly or indirectly, have any financial interest (whether by ownership of any stock, bond, security, or otherwise) in any entity or person whose interests may be significantly affected by rates of postage, fees for postage services, the classification of mail, or the operation of the Postal Service. This paragraph does not proscribe interests in an entity or person whose use of the mail is merely an incidental or a minor factor in the general conduct of its business.

[66 FR 32545, June 15, 2001]

#### § 3000.735-104 Outside employment.

(a) An employee shall not engage in outside employment or professional practice, either on a paid or unpaid basis, with or for a company or other person whose interests are significantly affected by rates of postage, fees for postal services, the classification of mail or the operations of Postal Service.

(b) An employee who wishes to engage in outside employment either on a paid or unpaid basis shall obtain the prior written approval of the DAEO. A request for such approval shall be submitted in writing with sufficient description of the employment to enable the DAEO to make an informed determination that the outside employment is not prohibited by law or regulation,

## § 3000.735-501

including 5 CFR part 2635 or 5 CFR part 5601.

(c) An employee who has been assigned to a particular matter which affects the financial interests of a prospective employer and who is required, in accordance with 5 CFR 2635.604(a), to disqualify himself from participation in that matter shall, notwithstanding the guidance in 5 CFR 2635.604 (b) and (c), provide notice of disqualification to his supervisor upon determining that he will not participate in the matter.

### Subpart B—Ex Parte Communications

#### § 3000.735-501 Ex parte communications prohibited.

Decision-making Commission personnel, as defined in § 3001.7(a), shall not, either in an official or unofficial capacity, participate in any ex parte communication—either oral or written—with any person regarding (1) a particular matter (substantive or procedural) at issue in contested proceedings before the Commission or (2) the substantive merits of a matter that is likely to become a particular matter at issue in contested proceedings before the Commission. A particular matter is at issue in contested proceedings before the Commission when it is a subject of controversy in a hearing held under 39 U.S.C. 3624 or 3661(c). However, this section does not prohibit participation in off-the-record proceedings conducted under regulations adopted by the Commission for hearings held under 39 U.S.C. 3624 or 3661(c).

[45 FR 65581, Oct. 3, 1980]

#### § 3000.735-502 Public record of ex parte communications.

As ex parte communications (either oral or written) may occur inadvertently notwithstanding § 3000.735-501, the employee who receives such a communication, shall—within 2 workdays after the receipt of such a communication—prepare a written report concerning the communication. The report shall identify the employee and the person or persons who participated in the ex parte communication; the circumstances which resulted in the com-

## 39 CFR Ch. III (7-1-02 Edition)

munication; the substance of the communication; and the relationship of the communication to a particular matter at issue or likely to become at issue in contested proceedings before the Commission. When the ex parte communication concerns a particular matter at issue in a proceeding before the Commission, a copy of the report shall be submitted to each party to the proceeding. The report is a public record of the Commission and a copy thereof shall be available to any member of the public on request. This section does not apply to ex parte communications under paragraph 3000.735-501(b).

[36 FR 5412, Mar. 23, 1971, as amended at 38 FR 24899, Sept. 11, 1973]

### APPENDIX A TO PART 3000—CODE OF ETHICS FOR GOVERNMENT SERVICE

Resolved by the House of Representatives (the Senate concurring), That it is the sense of the Congress that the following Code of Ethics should be adhered to by all Government employees, including office-holders:

#### CODE OF ETHICS FOR GOVERNMENT SERVICE

Any person in Government service should:

1. Put loyalty to the highest moral principles and to country above loyalty to persons, party, or Government department.
2. Uphold the Constitution, laws, and legal regulations of the United States and of all governments therein and never be a party to their evasion.
3. Give a full day's labor for a full day's pay; giving to the performance of his duties his earnest effort and best thought.
4. Seek to find and employ more efficient and economical ways of getting tasks accomplished.
5. Never discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not; and never accept, for himself or his family, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of his governmental duties.
6. Make no private promises of any kind binding upon the duties of office, since a Government employee has no private word which can be binding on public duty.
7. Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of his governmental duties.
8. Never use any information coming to him confidentially in the performance of governmental duties as a means for making private profit.
9. Expose corruption wherever discovered.

## Postal Rate Commission

## Pt. 3001

10. Uphold these principles, ever conscious that public office is a public trust.  
Passed July 11, 1958.

### PART 3001—RULES OF PRACTICE AND PROCEDURE

#### Subpart A—Rules of General Applicability

Sec.

- 3001.1 Construction of rules.
- 3001.2 [Reserved]
- 3001.3 Scope of rules.
- 3001.4 Method of citing rules.
- 3001.5 Definitions.
- 3001.6 Appearances.
- 3001.7 Ex parte communications.
- 3001.8 No participation by investigative or prosecuting officers.
- 3001.9 Filing of documents.
- 3001.10 Form and number of copies of documents.
- 3001.11 General contents of documents.
- 3001.12 Service of documents.
- 3001.13 Docket and hearing calendar.
- 3001.14 Consolidation and separation of proceedings.
- 3001.15 Computation of time.
- 3001.16 Continuances and extensions of time.
- 3001.17 Notice of proceeding.
- 3001.18 Nature of proceedings.
- 3001.19 Notice of prehearing conference or hearing.
- 3001.20 Formal intervention.
- 3001.20a Limited participation by persons not parties.
- 3001.20b Informal expression of views by persons not parties or limited participants (commenters).
- 3001.21 Motions.
- 3001.22 Requests for waiver.
- 3001.23 Presiding officers.
- 3001.24 Prehearing conferences.
- 3001.25 Discovery—general policy.
- 3001.26 Interrogatories for purpose of discovery.
- 3001.27 Requests for production of documents or things for purpose of discovery.
- 3001.28 Requests for admissions for purpose of discovery.
- 3001.29 Settlement conferences.
- 3001.30 Hearings.
- 3001.31 Evidence.
- 3001.31a In camera orders.
- 3001.32 Appeals from rulings of the presiding officer.
- 3001.33 Depositions.
- 3001.34 Briefs.
- 3001.35 Proposed findings and conclusions.
- 3001.36 Oral argument before the presiding or other designated officer.
- 3001.37 Oral argument before the Commission.
- 3001.38 Omission of intermediate decisions.
- 3001.39 Intermediate decisions.

- 3001.40 Exceptions to intermediate decisions.
- 3001.41 Rulemaking proceedings.
- 3001.42 Public information and requests.
- 3001.43 Public attendance at Commission meetings.

#### Subpart B—Rules Applicable to Requests for Changes in Rates or Fees

- 3001.51 Applicability.
- 3001.52 Filing of formal requests.
- 3001.53 Filing of prepared direct evidence.
- 3001.54 Contents of formal requests.
- 3001.55 Service by the Postal Service.
- 3001.56 Failure to comply.
- 3001.57 Market response rate requests for express mail service—purpose and duration of rules.
- 3001.58 Market response rate requests—data filing requirements.
- 3001.59 Market Response Rate Requests—expedition of public notice and procedural schedule.
- 3001.60 Express mail market response—rule for decision.

#### Subpart C—Rules Applicable to Requests for Establishing or Changing the Mail Classification Schedule

- 3001.61 Applicability.
  - 3001.62 Filing of formal requests.
  - 3001.63 Filing of prepared direct evidence.
  - 3001.64 Contents of formal requests.
  - 3001.65 Service by the Postal Service.
  - 3001.66 Failure to comply.
  - 3001.67 Requests involving experimental changes.
  - 3001.67a Requests involving experimental changes—procedures for limitation of issues.
  - 3001.67b Requests involving experimental changes—unavailability of data.
  - 3001.67c Requests involving experimental changes—plans for data collection.
  - 3001.67d Requests involving experimental changes—time limit.
  - 3001.68 Text of the Domestic Mail Classification Schedule.
  - 3001.69 Expedited minor classification cases—applicability.
  - 3001.69a Expedited minor classification cases—filing of formal request and prepared direct evidence.
  - 3001.69b Expedited minor classification cases—expedition of procedural schedule.
  - 3001.69c Expedited minor classification cases—time limits.
- APPENDIX A TO SUBPART C—POSTAL SERVICE  
RATES AND CHARGES

#### Subpart D—Rules Applicable to Requests for Changes in the Nature of Postal Services

- 3001.71 Applicability.